

FORM PTO-1390
(REV. 5-93)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

NEY'S DOCKET NUMBER

314

PCT

TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)

U.S. APPLICATION NO. (if known, see 37 CFR 1.51)

09/530490

International Application No.

PCT/JP97/03969

International Filing Date

October 30, 1997

Priority Date Claimed

Title of Invention SEMICONDUCTOR DEVICE AND PROCESS FOR
MANUFACTURING THE SAME

Applicant(s) for DO/EO/US SEE ATTACHED LIST (T. MIYAMOTO et al)

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

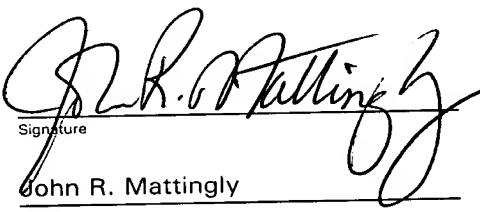
1. ☒ This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
7. ☐ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☐ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

Items 11. to 16. below concern other document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13. ☒ A FIRST preliminary amendment.
☐ A SECOND or SUBSEQUENT preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

☒ LIST OF INVENTORS' NAMES AND ADDRESSES.

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U.S. Application No. (if known, see 37 CFR 1.51) 09/530490		International Application No. PCT/JP97/03969		Docket Number 14			
17. <input checked="" type="checkbox"/> The following fees are submitted: <u>Basic National Fee (37 CFR 1.492 (a)(1)-(5)):</u> Search Report has been prepared by the EPO or JPO \$840.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) \$670.00 No international preliminary examination fee (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445 (A)(2)) \$760.00 Neither international examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(A)(2)) paid to USPTO \$ 970.00 International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2) to (4) \$ 96.00 <div style="text-align: right;">ENTER APPROPRIATE BASIC FEE AMOUNT = \$ 840.00</div>				CALCULATIONS		PTO USE ONLY	
				Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)). + \$ 0.00			
Claims	Number Filed	Number Extra	Rate				
Total	33 -20 =	13	x \$18.00	\$ 234.00			
Independent	5 - 3 =	2	x \$78.00	\$ 156.00			
Multiple dependent claim(s) (if applicable)				+ \$260.00	\$ 0.00		
TOTAL OF ABOVE CALCULATIONS				=	\$ 1,230.00		
Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must also be filed. (Note 37 CFR 1.9, 1.27, 1.28).					\$ 0.00		
SUBTOTAL				=	\$ 1,230.00		
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				+ \$	0.00		
TOTAL NATIONAL FEE				=	\$ 1,230.00		
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property.				+ \$	0.00		
TOTAL FEES ENCLOSED				=	\$ 1,230.00		
				Amount to be:			
				Refunded \$			
				Charged \$			
a. <input checked="" type="checkbox"/> A check in the amount of \$ <u>1,230.00</u> to cover the above fees is enclosed. b. <input type="checkbox"/> Please charge my Deposit Account No. 02-1540 in the amount of \$ _____ to cover the above fees. A duplicate copy of this sheet is enclosed. c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 02-1540. A duplicate copy of this sheet is enclosed.							
Note: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.							
SEND ALL CORRESPONDENCE TO: BEALL LAW OFFICES 104 East Hume Avenue Alexandria, Virginia 22301 (703) 684 -1120				<div style="text-align: right;">  Signature John R. Mattingly Name </div>			
				30,293 Registration Number			

09/530490

PATENT APPLICATION SERIAL NO.

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE
OFFICE RECORD SHEET

05/10/2000 WCLAYBRO 00000055 09530490

01 FC:970	840.00	OP
02 FC:966	234.00	OP
03 FC:964	156.00	OP